



RECORDS RETENTION AND DISPOSITION SCHEDULE

Alcohol and Tobacco Commission

Agency: Alcohol and Tobacco Commission		Division:	
ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION (This Retention Schedule is approved on a space-available basis)	RETENTION PERIOD
1	2010-35	SERVER PERMITTEES AND CERTIFICATION Alcohol servers must complete an approved certified training program. A training program may be from the Alcohol and Tobacco Commission or a training provider. The trainer provider shall require successful completion and that a participant receives a passing grade on a written or verbal test. Disclosure of these records may be subject to IC 5-14-3-4(a)(7) and (b)(3) and (4). Retention based on 905 IAC 1-12.5-3 and 905 IAC 1-12.5-4.	IMAGE according to IARA imaging standards upon receipt. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records after five (5) years.
2	2010-36	APPLICATION FOR TOBACCO SALES CERTIFICATE, STATE FORM NUMBER 51537 An applicant submits this completed form (record) and a \$200 fee for each original application and location. This certificate is valid for three (3) years from the date of issuance and can be renewed for successive three (3) year time periods. The renewal fee is \$200 multiplied by the total number of tobacco sales locations.	TRANSFER to the RECORDS CENTER three (3) years after the date the Certificate was issued and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional three (3) years in the RECORDS CENTER. TOTAL RETENTION: Six (6) years after the date the certificate was issued and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
3	2010-37	GROUP PURCHASING AGREEMENTS Pursuant to 905 IAC 1-32.1, retailer and dealer permit holders who enter into a group purchasing agreement shall provide a written copy for public inspection in the office of the Alcohol and Tobacco Commission during the Commission's regular business hours. The Commission is not a party to these agreements and no fee is collected.	DESTROY upon expiration or replacement by a new agreement.
4	2010-38	BEER KEG TRACKING LOG The Beer Keg Tracking Log is an 8	IMAGE according to IARA imaging standards upon receipt. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records two (2) calendar years after the latest registration year and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
5	2010-39	ACCIDENT FILES These paper records are maintained to report not only any vehicle accidents involving State Excise Police Officers but miscellaneous damage to a vehicle and/or lost or stolen or damaged agency property. Typical files may contain memos, correspondence, narratives, Indiana State Police SF 23558, Indiana Officers Standard Crash Report, photographs or notes. No fiscal data is present. Any financial records are located in this agency's Basic Accounting Records. Retention based on IC 34-11-2-6.	IMAGE according to IARA imaging standards upon receipt. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records five (5) calendar years after the latest registration year and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
6	2010-40	TOBACCO VIOLATION FILES A typical file contains a record of violation(s), investigations, violation hearing information (i.e., notices, subpoena, etc.), and a procedural excise report. Disclosure of these records may be subject to IC 5-14-3-4(b)(1).	IMAGE according to IARA imaging standards after closure of the court case. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records ten (10) calendar years after the date of closure of the court case or the latest violation by a tobacco sales certificate holder.

7	2010-42	PROPERTY RECORD AND RECEIPT Informally known as the "ESP 3," this is used by the Excise Police if a court orders a defendant to forfeit money to the Alcohol and Tobacco Commission. The type of violation is listed, defendant name or names, articles taken and officer names. A judge signs and dates the form. This record is maintained at the Excise Police District level.	IMAGE according to IARA imaging standards upon receipt. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records ten (10) years after the forfeiture date and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
8	83-888	EXCISE POLICE FILES This file contains a record of violations, investigations, violation hearing information, (i.e., notices, subpoenas), and a procedural excise report. Records correspond to a specific Alcoholic Beverage Permittee File (R.S. 83-893) and are closed when that matching file is declared closed. Disclosure of these records may be subject to IC 5-14-3-4(b)(1).	IMAGE according to IARA imaging standards upon receipt. TRANSFER hard copies to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after verification of electronic images for completeness and legibility. DELETE electronic records after six (6) years.
9	83-893	ALCOHOLIC BEVERAGE PERMITTEE FILES Records are of licensed alcoholic beverage establishments. A typical file contains the original Articles of Incorporation, the most current lease copy, the original application, any renewals, transfers, correspondence relating to the permit, extension letters and floor plans. and may also indicate if this is a sporting venue or if the establishment has also been approved for gaming by the Indiana Gaming Commission. A file is closed when an establishment goes out of business or fails to submit a license renewal for two (2) years after that renewal is due. Retention based on IC 7.1-3-1-3.	IMAGE according to IARA imaging standards upon receipt. TRANSFER hard copies to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after verification of electronic images for completeness and legibility. DELETE electronic records after six (6) years.
10	83-894	EMPLOYEE PERMITS -BARTENDERS AND SALESMEN A three (3) year permit is issued to employees (those who sell liquor at the retail level). Retention based on IC 7.1-4-4.1-3. [Record Series history note: until 1996, this was an archival record, whose retention was: "TRANSFER to the RECORDS CENTER one year after expiration of the permit. DESTROY in the Records Center after receipt of STATE BOARD OF ACCOUNTS Audit Reports and satisfaction of unsettled charges, and after a skeleton sampling every five years by the INDIANA ARCHIVES. . ."]	IMAGE according to IARA imaging standards after permit is issued. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records after three (3) years.
11	83-895	CARRIER APPLICATIONS AND PERMITS This is a one year permit and fee for trucking companies to haul alcoholic beverages within the state, pursuant to IC 7.1-3-18-5. The company is licensed and the permit is valid for all of the company-s vehicles.	IMAGE according to IARA imaging standards after permit is issued. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
12	83-897	TEMPORARY APPLICATIONS AND PERMITS These are permits to serve alcoholic beverages at special functions, such as block parties, etc. The file includes temporary employee permits.	IMAGE according to IARA imaging standards after permit is issued. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
13	83-898	IMPORTERS RECORD FILE/PRIMARY SOURCE A company that desires to import alcoholic beverages into the state must register with the Alcohol and Tobacco Commission. Pursuant to IC 7.1-4-4.1-1, 2004 Edition, no fee is required. This is a direct, on-line registry and no paper attachments are received. If an importer does not submit annual registration, that company is deemed no longer in business.	DELETE two (2) years after registration.

14	96-85	ANNUAL RETAILER PERMIT & DEALER REGISTRY Pursuant to IC 7.1-2-3-9.1, the Alcohol and Tobacco Commission shall prepare and maintain, available for public inspection, a registry of all retailer and dealer permits (including supplemental permits) issued by it. This registry is maintained in computer format and can be printed on demand. It is also available for public inspection on the Internet.	TRANSFER one (1) copy of registry annually to the INDIANA ARCHIVES, for permanent archival retention.
15	96-86	PERMIT AUCTION RECORDS Permit auctions are held in the year in which the permit became available. A typical file contains an Activity Log for Inactive Permit Auction, return mail receipts, the successful bidder, dollar amount paid for the permit, and lists of permits-name, location(s), (city or town and address). A professional auctioneer conducts the auctions and the Alcohol and Tobacco Commission enters into a contract with the successful bidder. Retention based on IC 34-13-1-1.	IMAGE according to IARA imaging standards after auction. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records after ten (10) years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
16	96-87	LOCAL BOARD APPOINTMENT RECORDS Received annually or when a change is made, this file contains the Certificate of Appointment and Sworn Statement by Appointee to Local Alcoholic Beverage Board (SF 22658) and IRS Form W-9, Taxpayer Identification and Certification and the local board member's certificate of training. Disclosure of these records may be subject to IC 4-1-10 IC 5-14-3-4(b)(8), and IC 6-8.1-7-1. Retention partially based on IC 7.1-2-4-13.	IMAGE according to IARA imaging standards upon receipt. TRANSFER hard copies to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after verification of electronic images for completeness and legibility. DELETE electronic records one (1) year after the appointee is replaced or no longer qualified for the local board.
17	96-90	EXCISE "BOOTLEG" FILES This is a record of persons charged with selling alcoholic beverages without a permit. A typical file could contain the individual's name(s) and address (es), a record of violation(s), hearing information, property reports, and raid reports. The State Excise Police must often have extensive violation history to present to a court when trying alleged violators. Disclosure of these records may be subject to IC 5-14-3-4(b)(1).	IMAGE according to IARA imaging standards after closure of the court case. DESTROY hard copies after verification of electronic images for completeness and legibility. DELETE electronic records ten (10) calendar years after the date of closure of the court case regarding the last unlawful procurement of alcoholic beverages from a person or address.